

PROJECT LEAD CHECK LIST

Sponsor: Santa Cruz METRO		
Project: Watsonville ZEB Transit Service		
DOCUMENTS	COMPLETE	NOTES
Authorized Agent Form	X	
Certifications and Assurances	X	
Board Resolution approving above forms	X	
Board Resolution approving Project	X	INCLUDED W/ARBE - RESOLUTION
Project Description and Allocation Request		
Project Summary (page 1)	X	
Allocation (page 2)		
Project Information	X	
Project Lead (including signature)	X	
Contributing Sponsor(s) (including signature)	X	RIC SIG; MST, TAMC LETTERS
Funding (page 3)		
Table 1 - Project Lead Information (Contact, Mailing Address)	X	
Table 2 - Contributing Sponsor Information	X	
Project (page 4)		
Table 3 - Project Type	X	
Table 4 - Project Description, Location (include map) and Life	X	MAP 1
Benefits/Outcomes (page 5-6)		
Table 5 - Greenhouse Gas Reduction, Mode Share Increase, Disadvantaged Communities (DAC) Project Criteria, DAC Benefits and Co-benefits checklist, Co-benefits description	X	INCLUDED DAC MAP
Schedule (page 6)		
Table 6 - Project Schedule	X	
Operations (page 7)		
Table 7 - Operating plan, fare structure, ridership assumptions, cost assumptions	X	
<b>Total Project Cost and Funding Plan</b>		
LCTOP Amount of 99313 funds:	X	
LCTOP Amount of 99314 funds:	X	
Total Project Funds (LCTOP + all other funds):	X	

**Low Carbon Transit Operations Program (LCTOP)  
AUTHORIZED AGENT**

AS THE Board Chair  
(Chief Executive Officer / Director / President / Secretary)

OF THE Santa Cruz Metropolitan Transit District  
(Name of County/City Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named Regional Entity/Transit Operator, any actions necessary for the purpose of obtaining Low Carbon Transit Operations Program (LCTOP) funds provided by the California Department of Transportation, Division of Rail and Mass Transportation. I understand that if there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself. I understand the Board must provide a resolution approving the Authorized Agent. The Board Resolution appointing the Authorized Agent is attached.

Alex Clifford, CEO/General Manager  OR  
(Name and Title of Authorized Agent)

Angela Aitken, Finance Manager  OR  
(Name and Title of Authorized Agent)

\_\_\_\_\_  
(Name and Title of Authorized Agent)

Dene Bustichi \_\_\_\_\_ Chair, Santa Cruz Metropolitan Transit District  
(Print Name) (Title)

  
(Signature)

Approved this 22<sup>nd</sup> day of January, 2016

Attachment: Board Resolution approving Authorized Agent

## Low Carbon Transit Operations Program (LCTOP) CERTIFICATIONS AND ASSURANCES

**Project Sponsor:** Santa Cruz Metropolitan Transit District

**Agency Name:** Santa Cruz Metropolitan Transit District

**Effective Date of this Document:** January 22, 2016

The California Department of Transportation (Department) has adopted the following certifications and assurances for the Low Carbon Transit Operations Program. As a condition of the receipt of LCTOP funds, project lead must comply with these terms and conditions.

### A. General

- (1) The project lead agrees to abide by the current LCTOP Guidelines and applicable legal requirements.
- (2) The project lead must submit to the Department a signed Authorized Agent form designating the representative who can submit documents on behalf of the project sponsor and a copy of the board resolution appointing the Authorized Agent.

### B. Project Administration

- (1) The project lead certifies that required environmental documentation is complete before requesting an allocation of LCTOP funds. The project lead assures that projects approved for LCTOP funding comply with Public Resources Code § 21100 and § 21150.
- (2) The project lead certifies that a dedicated bank account for LCTOP funds only will be established within 30 days of receipt of LCTOP funds.
- (3) The project lead certifies that when LCTOP funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
- (4) The project lead certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
- (5) The project lead certifies that they will notify the Department of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
- (6) The project lead must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the project.
- (7) Any interest the project lead earns on LCTOP funds must be used only on approved LCTOP projects.
- (8) The project lead must notify the Department of any changes to the approved project with a Corrective Action Plan (CAP).
- (9) Under extraordinary circumstances, a project lead may terminate a project prior to completion. In the event the project lead terminates a project prior to completion, the project lead must (1) contact the Department in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to

verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.

- (10) Funds must be encumbered and liquidated within the time allowed.

### C. Reporting

- (1) The project lead must submit the following LCTOP reports:
  - a. Semi-Annual Progress Reports by May 15<sup>th</sup> and November 15<sup>th</sup> each year.
  - b. A Final Report within six months of project completion.
  - c. The annual audit required under the Transportation Development Act (TDA), to verify receipt and appropriate expenditure of LCTOP funds. A copy of the audit report must be submitted to the Department within six months of the close of the year (December 31) each year in which LCTOP funds have been received or expended.
- (2) Other Reporting Requirements: ARB is developing funding guidelines that will include reporting requirements for all State agencies that receive appropriations from the Greenhouse Gas Reduction Fund. Caltrans and project sponsors will need to submit reporting information in accordance with ARB's funding guidelines, including reporting on greenhouse gas reductions and benefits to disadvantaged communities.

### D. Cost Principles

- (1) The project lead agrees to comply with Title 2 of the Code of Federal Regulations 225 (2 CFR 225), Cost Principles for State and Local Government, and 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- (2) The project lead agrees, and will assure that its contractors and subcontractors will be obligated to agree, that:
  - a. Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allow ability of individual project cost items and
  - b. Those parties shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Every sub-recipient receiving LCTOP funds as a contractor or sub-contractor shall comply with Federal administrative procedures in accordance with 49 CFR, Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- (3) Any project cost for which the project lead has received funds that are determined by subsequent audit to be unallowable under 2 CFR 225, 48 CFR, Chapter 1, Part 31 or 49 CFR, Part 18, are subject to repayment by the project lead to the State of California (State). All projects must reduce greenhouse gas emissions, as required under Public Resources Code section 75230, and any project that fails to reduce greenhouse gases shall also have its project costs submit to repayment by the project lead to the State. Should the project lead fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the project lead from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

#### E. Record Retention

- (1) The project lead agrees, and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the project lead, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP), and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the project lead, its contractors and subcontractors connected with LCTOP funding shall be maintained for a minimum of three (3) years after the "Project Closeout" report or final Phase 2 report is submitted (per ARB Funding Guidelines, Vol. 3, page 3.A-16), and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the project lead, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the project lead pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the project lead's external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
- (2) For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the project lead's contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the project lead shall furnish copies thereof if requested.
- (3) The project lead, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

#### F. Special Situations

The Department may perform an audit and/or request detailed project information of the project sponsor's LCTOP funded projects at the Department's discretion at any time prior to the completion of the LCTOP.

I certify all of these conditions will be met.

BY:



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ALEX CLIFFORD, CEO/General Manager  
Santa Cruz Metropolitan Transit District



BEFORE THE BOARD OF DIRECTORS OF THE  
SANTA CRUZ METROPOLITAN TRANSIT DISTRICT

Resolution No. 16-01-08  
On the Motion of Director: John Leopold  
Duly Seconded by Director: Jimmy Dutra  
The Following Resolution is Adopted:

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
SANTA CRUZ METROPOLITAN TRANSIT DISTRICT  
AUTHORIZING THE EXECUTION OF CERTIFICATIONS AND ASSURANCES  
AND DESIGNATING ALEX CLIFFORD, CEO/GENERAL MANAGER AS THE  
AUTHORIZED AGENT TO EXECUTE ALL ACTIONS NECESSARY TO  
RECEIVE FUNDS FROM THE LOW CARBON TRANSIT OPERATIONS  
PROGRAM**

**WHEREAS**, California Governor Brown enacted the Transit, Affordable Housing and Sustainable Communities Program (SB 862) in 2014 to reduce greenhouse gas emissions from the transportation sector; and

**WHEREAS**, SB 862 established the Low Carbon Transit Operations Program (LCTOP) to receive revenue from the sale of emission allowances in California's Cap-and-Trade program and distribute these funds to transit operators for projects which increase transit ridership; and

**WHEREAS**, SB 862 designated the California Department of Transportation (Caltrans) as the administrative agency to implement monitor and establish Guidelines for the Low Carbon Transit Operations Program (LCTOP); and

**WHEREAS**, the Santa Cruz Metropolitan Transit District is an eligible project sponsor and may receive funds directly from the LCTOP and from other sponsors, such as the Santa Cruz County Regional Transportation Commission, to which the LCTOP also allocates funds; and

**WHEREAS**, the Santa Cruz Metropolitan Transit District proposes to use all of the LCTOP funds allocated by formula in Public Utilities Code Sections 99313 and 99314 for transit infrastructure and Operations projects in accordance with the LCTOP Guidelines, the Santa Cruz Metropolitan Transit District's financial framework for capital budgets and the Regional Transportation Plan; and

**WHEREAS**, the Santa Cruz Metropolitan Transit District authorizes submittal of the following project nomination and allocation requests to the California Department of Transportation for FY2015-16 LCTOP funds:

*Project Name:* Electric Bus Replacement

*LCTOP Funds Requested:*

Santa Cruz METRO FY2015-16 allocation: \$526,598

Monterey-Salinas Transit FY2015-16 allocation: \$182,694

*Short Description:* Purchase an Electric Bus to replace a fossil-fueled bus serving a defined disadvantaged community in Watsonville.

*Contributing Sponsor:* Santa Cruz County Regional Transportation

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors of the Santa Cruz Metropolitan Transit District hereby agrees to comply with all conditions and requirements set forth in the Certification and Assurances document and the applicable statutes, regulations and guidelines for the LCTOP; and

**THEREFORE, BE IT FURTHER RESOLVED**, that the Board of Directors of the Santa Cruz Metropolitan Transit District hereby designates Alex Clifford, CEO/General Manager, or designee, as the Authorized Agent to execute all actions necessary to receive funds from the LCTOP.

**PASSED AND ADOPTED** this 22nd Day of January, 2016 by the following vote:

**AYES:** Directors Bottorff, Bustichi, Cervantez, Chase, Dutra, Friend, Lane, Leopold and McPherson

**NOES:** None

**ABSTAIN:** None

**ABSENT:** Director Rotkin

**APPROVED**



DENE BUSTICHI  
Board Chair

**ATTEST**



ALEX CLIFFORD  
CEO/General Manager

**APPROVED AS TO FORM:**



LESLYN SYREN  
District Counsel



## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (SUMMARY)

#### **Project Information:**

Lead Agency:	Santa Cruz Metropolitan Transit District
Project Name:	Watsonville ZEB Transit Service
Project Type: <i>See Attachment A</i>	Ai: Purchase, operate and maintain zero-emission or hybrid vehicles and equipment
Description of Project (Short):	Purchase, operate and maintain one electric bus to provide new transit service in Watsonville, CA.
Project Location:	Watsonville, Santa Cruz County, CA
Project Start Date (anticipated):	4/1/2017
Project End Date (anticipated):	3/31/2029

#### **Funding Information:**

Funding Year:	FY 15-16
Requested Amount of PUC 99313:	\$351,620
Requested Amount of PUC 99314:	\$357,672
Total LCTOP Funding:	\$709,292
Total Project Cost:	\$1,066,508

#### **Project Benefits:**

##### Greenhouse Gas Benefits (off of worksheet)

Estimated GHG Reduction:	1,681.49
Project Life:	12
Estimated Total GHG Reduction:	1,681.49

##### Disadvantaged Communities (DAC) Benefits:

Does your service area have a DAC?	Yes
Does the Project Benefit a DAC?	Yes
Identify the DAC Census Tracts?	Tracts 6087110400 and 6087110300
Identify Specific DAC Benefit Criteria? <i>See Attachment B</i>	LCTP IC: Project provides incentives for vehicles or equipment that reduce air pollution on fixed routes that are primarily within a disadvantaged community or vehicles that serve transit stations or stops in a disadvantaged community.
Qualitative Description of DAC Benefit?	This project will reduce GhG emissions in the DAC by serving a new route with a zero-emission vehicle and removing some route segments currently served by diesel buses within the DAC. The electric bus will operate from the Watsonville Transit
Describe the DAC Need Project Addresses?	The Watsonville DAC scores in the top 10% for groundwater contamination as a pollution burden. Leaks and spills of diesel fuel and petroleum products used in transit buses can wash from pavement and leach into the groundwater, further
Total GGRF \$ Allocated to DAC	\$709,292

##### Co-benefit

Critical Air Pollution Reduction:	Reduce PM 2.5 and Diesel PM
VMT Reduction:	808,704
Ridership Increase	207,360
Fuel Ues Reduction:	TBD
Energy Use Reduction:	TBD

**Low Carbon Transit Operations Program (LCTOP)  
 PROJECT DESCRIPTION AND ALLOCATION REQUEST (ALLOCATION)**

<b>Regional Entity:</b> Santa Cruz County Regional Trans Commission	
<b>Project Lead:</b> Santa Cruz Metropolitan Transit District	<b>County:</b> Santa Cruz
<b>Project Title:</b> Watsonville ZEB Transit Service	

**Project Lead:**

I certify the scope, cost, schedule, and benefits as identified in the attached Allocation Request (Request) and attachments are true and accurate and demonstrate a fully funded operable project. I understand the Request is subject to any additional restrictions, limitations or conditions that may be enacted by the State Legislature, including the State's budgetary process and/or auction receipts. In the event the project cannot be completed as originally scoped, scheduled and estimated, or the project is terminated prior to completion, project lead shall, at its own expense, ensure that the project is in a safe and operable condition for the public. I understand this project will be monitored by the California Department of Transportation - Division of Rail and Mass Transportation.

**Name:** Alex Clifford

**Signature:** 

**Title:** CEO/General Manager

**Agency:** Santa Cruz Metropolitan Transit District

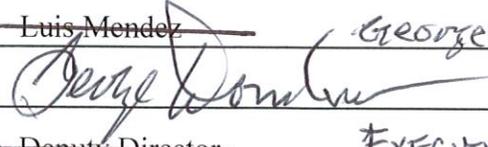
**Date:** 1/28/2016

**Amount:** \$263,475

**Contributing Sponsor(s):**

\*If this project includes funding from more than one project sponsor, the project lead above becomes the "recipient agency" and the additional contributing project sponsor(s) must also sign and state the amount and type of LCTOP funds (PUC Sections 99313 and 99314) contribution. Sign below or **attach a separate officially signed letter providing that information. If there is more than one contributing sponsor, please submit additional page, or a letter from the additional contributors.**

**Name:** ~~Luis Mendez~~ George Doudero

**Signature:** 

**Title:** ~~Deputy Director~~ EXECUTIVE DIRECTOR

**Agency:** Santa Cruz County Regional Transportation Commission

**Date:** 1/29/2016

**Amount:** \$263,123



January 28, 2016

Mr. Alex Clifford, CEO  
Santa Cruz METRO  
110 Vernon Street  
Santa Cruz, CA 95060

**RE: FY 2015/2016 Low Carbon Transit Operations Funds to Santa Cruz Metro**

Dear Mr. Clifford:

The Transportation Agency for Monterey County (TAMC) agrees to sponsor Santa Cruz METRO's (METRO's) project in the amount of \$115,175 for a new zero-emission bus service in Watsonville.

METRO will request Santa Cruz County's FY 2015/2016 LCTOP allocation \$526,598 plus a sponsorship amount of \$182,694 from Monterey County's FY 2015/2016 LCTOP allocation comprised of \$115,175 from the PUC §99313 allocated to TAMC and \$67,519 from the PUC §99314 allocated to Monterey-Salinas Transit. METRO will then show TAMC as a project sponsor and include this amount in its FY16 allocation request to Caltrans.

As the LCTOP Authorized Agent for Transportation Agency for Monterey County, I am sending this letter to indicate its sponsorship of METRO's FY16 LCTOP *Watsonville ZEB Transit Service* project in the amount of \$115,175.

TAMC looks forward to continued cooperation with Santa Cruz METRO in providing effective transportation services in Monterey and Santa Cruz Counties.

If you have any questions, you may contact Virginia Murillo of my staff at [Virginia@tamcmonterey.org](mailto:Virginia@tamcmonterey.org) or (831)775-4415.

Sincerely,

Debra L. Hale, Executive Director  
LCTOP Authorized Agent  
Transportation Agency for Monterey County

# MST

MONTEREY-SALINAS TRANSIT

TRANSIT DISTRICT MEMBERS:

*City of Carmel-by-the-Sea • City of Del Rey Oaks • City of Gonzales • City of Greenfield  
City of King • City of Marina • City of Monterey • City of Pacific Grove • City of Salinas  
City of Sand City • City of Seaside • City of Soledad • County of Monterey*

January 28, 2016

Mr. Alex Clifford, CEO  
Santa Cruz METRO  
110 Vernon Street  
Santa Cruz, CA 95060

Dear Alex:

Monterey-Salinas Transit (MST) agrees to sponsor Santa Cruz METRO's (METRO's) FY16 Low Carbon Transit Operations Program (LCTOP) project for a new zero-emission bus service in Watsonville.

METRO will request its FY16 LCTOP allocation to purchase an electric bus for new transit service in Watsonville. METRO's budget for this project is structured to use Santa Cruz County's allocation of \$526,598 plus Monterey County's sponsorship amount of \$182,694 comprised of \$115,175 from the PUC §99313 and \$67,519 from the PUC §99314 allocated to Monterey County in FY16 LCTOP funds. METRO will then show MST as a project sponsor and include this amount in its FY16 allocation request to Caltrans.

As the LCTOP Authorized Agent for Monterey-Salinas Transit, I am sending this letter to indicate its sponsorship of METRO's FY16 LCTOP *Watsonville ZEB Transit Service* project in the amount of \$67,519.

MST looks forward to continued cooperation with Santa Cruz METRO to provide high-quality transit service in Monterey and Santa Cruz Counties. Please call me if you have any questions.

Sincerely,



Carl G. Sedoryk,  
General Manager/CEO  
LCTOP Authorized Agent

**PROJECT DESCRIPTION AND ALLOCATION REQUEST (FUNDING)**

<i>LCTOP Allocation</i>	16/17	17/18	17/18
<b>Request Amount per PUC 99313:</b>	\$351,620	\$0	\$0
<b>Request Amount per PUC 99314:</b>	\$357,672	\$0	\$0
<b>Total Project Allocation Request:</b>	\$709,292	\$0	\$0
<b>Project Title:</b>	Watsonville ZEB Transit Service		
<b>Project Location/Address:</b>	475 Rodriguez Street, Watsonville, CA 95076		

**Table 1: Project Lead Information**

	<b>Legislative District Numbers</b>	
Agency Name: Santa Cruz Metropolitan Transit District	Assembly:	29
Contact Person: Thomas Hiltner	Senate:	17
Contact Phone #: 831-420-2580	Congressional:	18,20
Email Address: <a href="mailto:thiltner@scmtd.com">thiltner@scmtd.com</a>	Amount:	PUC Funds Type:
Address: 110 Vernon St. Santa Cruz, CA 95060	\$ 263,475	§ 99314
	\$	

**Table 2: Contributing Sponsor Information**

Name: Santa Cruz Co. Regional Trans. Commission	Amount :	PUC Fund Type:
Contact: Rachel Moriconi	\$ 263,123	§ 99313
Contact Phone #: (831) 460-3200	\$	
Email Address: <a href="mailto:rmoriconi@scrtc.org">rmoriconi@scrtc.org</a>		
Address: 1523 Pacific Ave., Santa Cruz, CA 95060		
<b>Other Contributing Sponsors: (Attach sheet with contact information)</b>	Amount:	PUC Fund Type:
Name: Transportation Agency for Monterey County	\$ \$115,175	§ 99313
Name: Monterey-Salinas Transit	\$ \$67,519	§ 99314
Name:	\$	
<b>TOTAL \$709,292</b>		

(\*Contributing project sponsors provide signed letters of verification as to amount and eligibility or sign cover page)

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (PROJECT)

**Table 3: Type of Project**

**See Attachment A for category of project** (example: Category 1A Implement new or expanded transit service (for new routes or expansion of existing routes)).

Operations Projects				Capital Projects			
X	A1	X	Ai		B1		Bi
	A2	X	Aii		B2		Bii
	A3		Aiii		B3		Bii
	A4		Aiv		B4		
	A5						

**Table 4: Project Summary**

**a) Project Description** - Describe the project in your own words, using comprehensive overall project description regarding improvements to be made, increased level of service and performance goals.

Santa Cruz METRO will purchase, operate and maintain **one electric bus operating on a new, public-transit, fixed-route which serves** bus stops and a transit center **within a DAC** in Watsonville, CA. In addition to the electric bus direct GhG reductions, this project will strive to increase public transit ridership by establishing a more effective connection between the DAC and retail centers in Watsonville. The Watsonville ZEB Transit Service will operate from the Watsonville Transit Center, which is located within a DAC.

Two local Watsonville local routes achieve perform poorly and will be eliminated because residents use inter-city express routes operating more frequently offer a higher-quality service between local origins and destinations within Watsonville. This project will replace those routes with a new, more effective fixed-route between the Watsonville Transit Center, the downtown core, and local retail destinations. This route will not only better serve local riders within a disadvantaged community, but it also expected to draw new riders. Additionally, on-time performance of the intercity routes will improve as a reduction in local, frequent stops for short-trip passengers will improve the speed of the intercity routes.

**b) Project Location** - Describe the location of the project. Also provide an 8 1/2" X 11" project site map that shows the transit service area and project location. Use link to CalEPA website for information,

<http://www.calepa.ca.gov/EnvJustice/GHGInvest/default.htm>.

The Watsonville ZEB Transit Service project will serve bus stops and the Watsonville Transit Center (WTC) located within a DAC in Watsonville CA (see attached map). The Watsonville Transit straddles the boundary between two census tracts which score in the top 20% of communities impacted by environmental, employment and educational factors. METRO's intercity routes between Watsonville and Santa Cruz operate from within this DAC. All Watsonville local routes serve the WTC.

**c) Project Life** - For capital projects, state the Useful Life of the Project. For operations project state the number of months service will operate.

Capital: 12 years (See FTA Reference Document Excerpt, next page)

Operations: 12 years

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (PROJECT)

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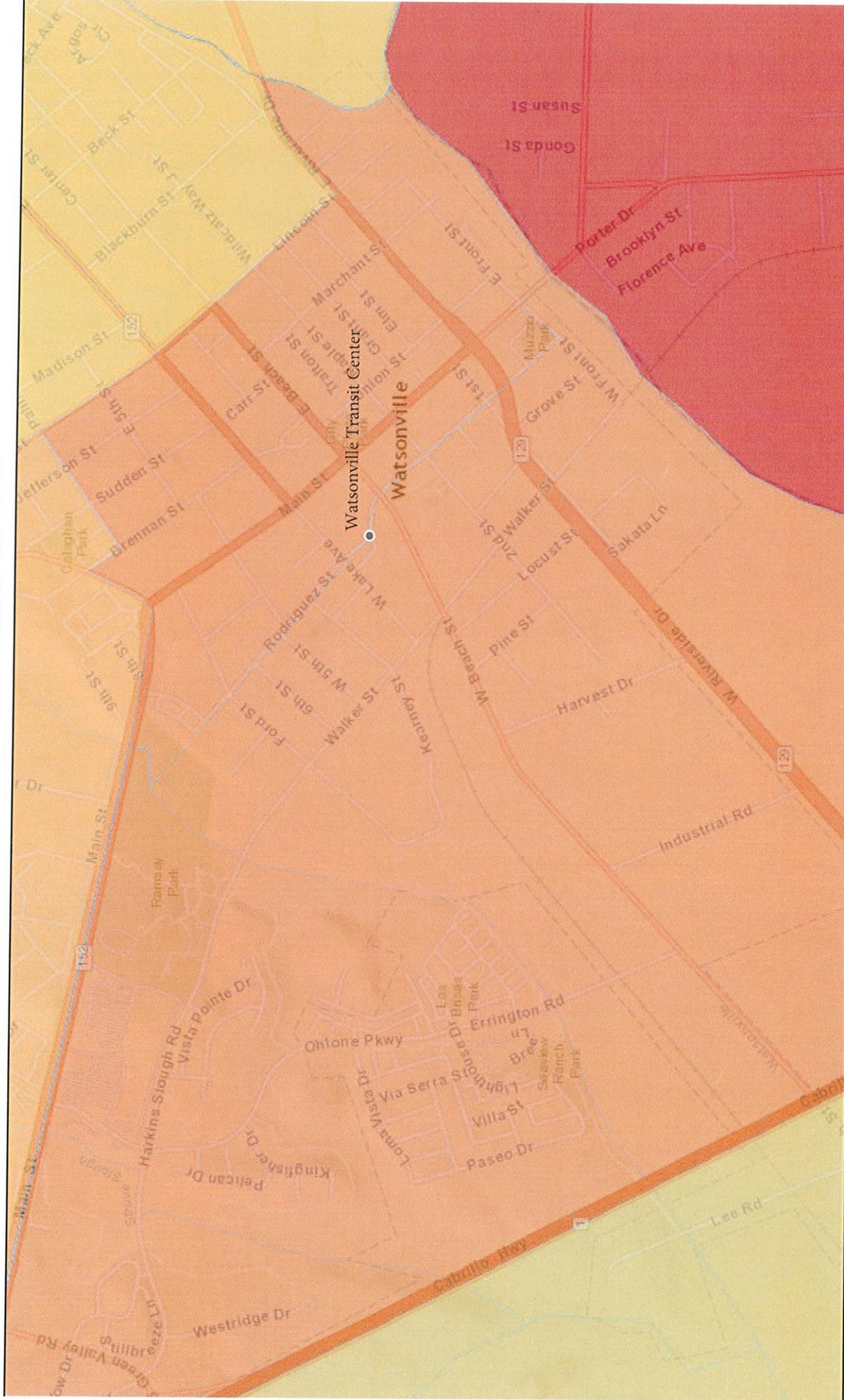
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**c) Project Life** - For capital projects, state the Useful Life of the Project. For operations project state the number of months service will operate.

Capital: 12 years (See FTA Reference Document Excerpt, next page)

Operations: 12 years

# Watsonville Transit Center in DAC



January 28, 2016

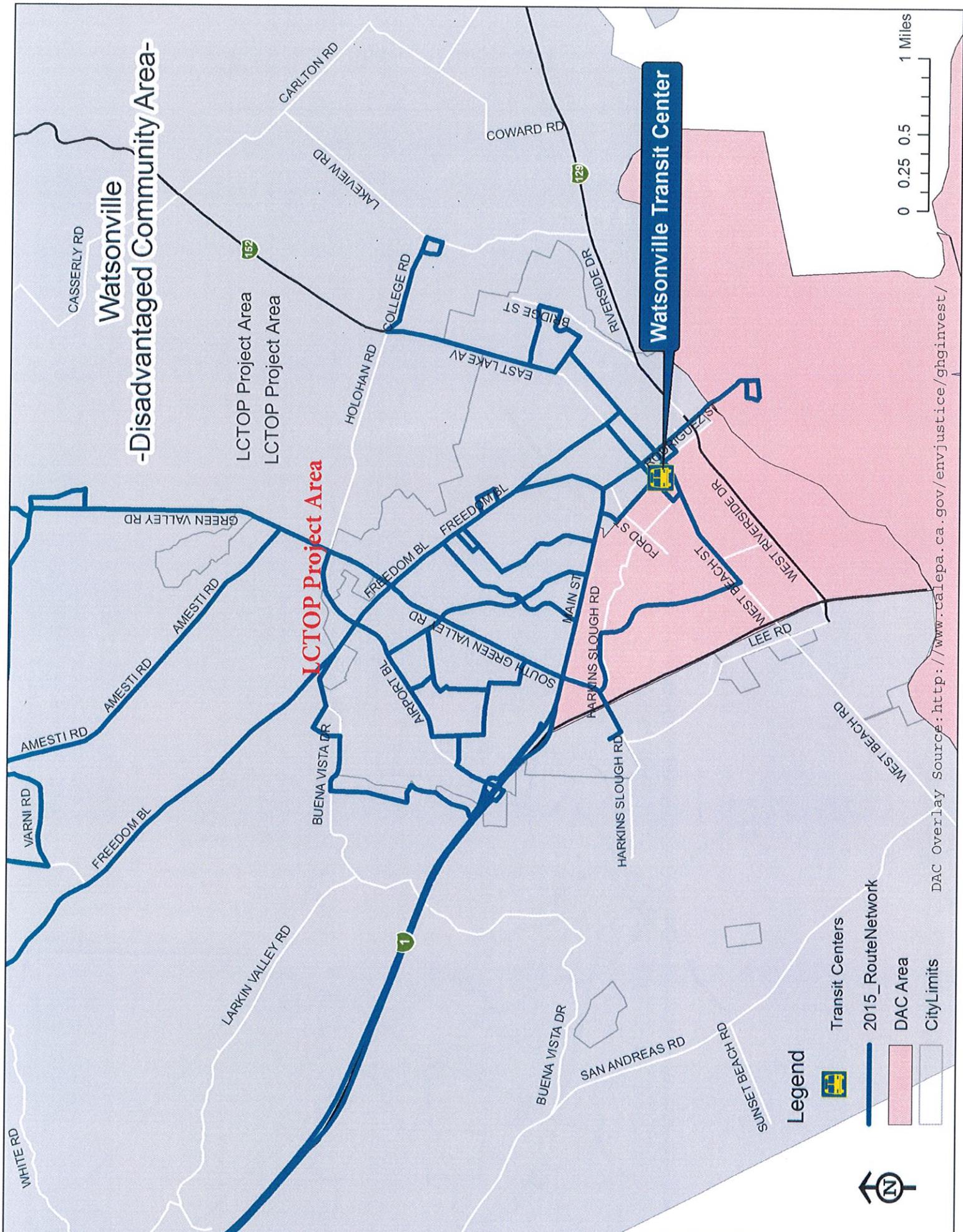
## EnviroScreen 2.0 Results



1:18,056



Sources: Esri, HERE, DeLorme, USGS, Intermap, increment P Corp., NR  
Esri Japan, METI, Esri China (Hong Kong), Esri (Thailand), MapmyInc  
OpenStreetMap contributors, and the GIS User Community



**Legend**

-  Transit Centers
-  2015\_RouteNetwork
-  DAC Area
-  City Limits

DAC Overlay Source: <http://www.ca.epa.gov/envjustice/ghginvest/>



# CIRCULAR

U.S. Department  
of Transportation

**Federal Transit  
Administration**

FTA C 5010.1D

November 1, 2008

**Subject: GRANT MANAGEMENT REQUIREMENTS**

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1. PURPOSE. This circular is a re-issuance of guidance for post-award grant administration and project management activities for all applicable Federal Transit Administration (FTA) grant programs. This revision incorporates provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), and includes the most current guidance for the Federal public transportation program as of the date of publication.

These requirements are intended to assist grantees in administering FTA-funded projects and in meeting grant responsibilities and reporting requirements. Grantees have a responsibility to comply with regulatory requirements and to be aware of all pertinent material to assist in the management of federally assisted grants.

2. CANCELLATION. This circular cancels FTA Circular 5010.1C, "Grant Management Guidelines," dated 10-1-98.
3. AUTHORITY.
  - a. Federal Transit Laws, codified at 49 U.S.C. Chapter 53.
  - b. 49 CFR 1.51.
4. WAIVER. FTA reserves the right to waive any provision of this circular to the extent permitted by Federal law or regulation.
5. FEDERAL REGISTER NOTICE. In conjunction with publication of this circular, a *Federal Register* notice was published on September 30, 2008 (73 FR 56892), addressing comments received during the development of the circular.
6. AMENDMENTS TO THE CIRCULAR. FTA reserves the right to update this circular to reflect changes in other revised or new guidance and regulations that undergo notice and comment without further notice and comment on this circular. FTA will post updates on our website: [www.fta.dot.gov](http://www.fta.dot.gov). The website allows the public to register for notification when FTA issues *Federal Register* notices or new guidance; visit the website and click on "sign up for e-mail updates."

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**OPI:** Office of Program  
Management

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/S/ Original Signed by  
James S. Simpson  
Administrator

**PROGRAM CIRCULAR**

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- (2) Shared Use. Shared use of project property requires prior written FTA approval except when it involves coordinated public transit human services transportation. Shared use projects should be clearly identified and sufficient detail provided to FTA at the time of grant review to determine allocable costs related to non-transit use for construction, maintenance, and operation costs.
- (3) Incidental Use. Any incidental use of project property will not exceed that permitted under applicable Federal laws, regulations, and directives. Incidental use requires prior FTA approval except when it involves coordinated public transit human services transportation. Consult your FTA regional or metropolitan office prior to incorporating incidental use activities in projects. Incidental use will be permitted if:
  - (a) The incidental use does not interfere with the grantee's project or public transportation operations;
  - (b) The grantee fully recaptures all costs related to the incidental use from the non-transit public entity or private entity, including all applicable excise taxes on fuel for fueling facilities and wear and tear to capital improvements;
  - (c) The grantee uses revenues received from the incidental use for capital and/or operating expenses that were or will be incurred to provide the public transportation; and
  - (d) Private entities pay all applicable excise taxes on fuel.
- f. Useful Life of Project Property. FTA provides a useful life policy for rolling stock, trolleys, ferries, facilities, and some equipment. Where a useful life policy has not been defined by FTA, the grantee, in consultation with the FTA regional or metropolitan office shall "make the case" by identifying a useful life period for all equipment and facilities with an acquisition value greater than \$5,000 to be procured with Federal funds. In the grant application, the grantee shall propose and identify a useful life for the capital asset to be purchased with Federal funds. FTA approval of the grant represents FTA concurrence of the final determination of useful life for the purpose of project property acquisition. This in turn will identify the useful life of the Federal interest for the disposition of the project property in later years.
  - (1) Determining Useful Life for Project Property. The grantee should identify the method used to determine the useful life. Acceptable methods to determine useful life include but are not limited to:
    - (a) Generally accepted accounting principles.
    - (b) Independent evaluation.
    - (c) Manufacturer's estimated useful life.

- (d) Internal Revenue Service guidelines.
  - (e) Industry standards.
  - (f) Grantee experience.
  - (g) The grantee's independent auditor who needs to concur that the useful life is reasonable for depreciation purposes.
  - (h) Proven useful life developed at a Federal test facility.
- (2) Bus, Van, Trolley, Rail Rolling Stock, and Ferries Useful Life Policy. Useful life of rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from revenue service. The useful life in years refers to total time in revenue transit service, not time spent stockpiled or otherwise unavailable for regular transit use.

Grant applicants need to specify the expected useful life category in requests for bids when acquiring new vehicles. Minimum useful life of rail rolling stock is 25 years. Minimum useful life for buses, vans, and trolleys is determined by years of service or accumulation of miles whichever comes first as follows:

(a) Buses:

- 1 Large, heavy-duty transit buses including over the road buses (approximately 35'–40', and articulated buses): at least 12 years of service or an accumulation of at least 500,000 miles.
  - 2 Small size, heavy-duty transit buses (approximately 30'): at least 10 years or an accumulation of at least 350,000 miles.
  - 3 Medium-size, medium-duty transit buses (approximately 25'–35'): at least seven years or an accumulation of at least 200,000 miles.
  - 10 Medium-size, light-duty transit buses (approximately 25'–35'): at least five years or an accumulation of at least 150,000 miles.
  - 11 Other light-duty vehicles used as equipment and in transport of passengers (revenue service) such as regular and specialized vans, sedans, and light-duty buses including all bus models exempt from testing in the current 49 CFR part 665: at least four years or an accumulation of at least 100,000 miles.
- (b) Trolleys: The term “trolley” is often applied to a wide variety of vehicles. Thus, the useful life depends on the type of “trolley.” FTA classifies “trolleys” and the suggested useful life as described in Chapter IV,

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (BENEFITS/OUTCOMES)

**Table 5: Description of Major Benefits/Outcomes**

**a) Greenhouse Gas Reduction** - Describe how this project will reduce greenhouse gases and any assumptions or data that support this description. For example, "The expanded transit service will reduce VMT and greenhouse gas emissions by replacing auto trips with transit trips. Initial estimates indicate that the expansion could add 50 commuter bus riders per day to replace an average auto trip of 10 miles each way." If available, please provide the expected amount of VMT reductions and greenhouse gas reductions.

The new transit service will reduce greenhouse gas emissions by replacing an estimated 9 passengers/hour carried on diesel-fueled buses with trips on a zero-emission electric bus. The new route will establish a more effective service within and connecting a DAC to retail centers and is anticipated to initially carry an additional 2 new passengers/hour (11 trips/hour total), the current average productivity for local routes.

**b) Increased Mode Share** - Describe how this project will directly increase mode share.

This project will increase mode share by attracting new transit riders by virtue of a new, more effective routing for shopping, personal, and home-work based trips and by the novelty of riding Santa Cruz County's first zero-emission electric bus. The projected mode share increase is based upon attracting 2 new passengers/hour initially, expanding to 4 new passengers/hour in the second year.

**c) Disadvantaged Communities (DAC) Project Criteria**

See Attachment B for DAC Criteria to Evaluate Projects (example: Category 1B Project provides transit incentives to residents with a physical address in a disadvantage community (e.g., vouchers, reduced fares, transit passes).

Low Carbon Transportation Projects				Transit Projects					
	1A		2A	X	1A		1G		2E
	1B		2B		1B		1H		2F
X	1C		2C		1C		2A		2G
	1D				1D		2B		2H
					1E		2C		2I
				X	1F		2D		

**d) Disadvantaged Communities (DAC) (if applicable\*)** - Describe how this project will directly benefit the DAC(s) within your service area in your own words. For agencies whose service area includes disadvantaged communities, at least 50 percent of the total moneys received shall be expended on projects that will benefit disadvantaged communities.

This project will reduce GhG emissions in the DAC by serving a new route with a zero-emission bus and removing some route segments currently served by diesel buses within the DAC. The electric bus will operate from the Watsonville Transit Center (WTC) which is within the DAC. The WTC provides access to all local and intercity routes serving Watsonville. The DAC scores 42 from diesel impact; this project will reduce that environmental contaminant. Diesel fuel and petroleum products can leach into ground water; the DAC scores in the top 10% of communities with groundwater threats, impaired water and drinking water impacts. Reducing fossil fuel bus operations will reduce water impacts.

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (BENEFITS/OUTCOMES)

**Table 5: Description of Major Benefits/Outcomes**

**e) Co-Benefits** - Check all additional Benefits/Outcomes.

<input type="checkbox"/> Improved Safety <input checked="" type="checkbox"/> Improved Public Health <input checked="" type="checkbox"/> Reduced Operating/Maintenance Cost <input type="checkbox"/> Increase System Reliability <input type="checkbox"/> Other Benefits (describe below)	<input type="checkbox"/> Coordination with Educational Institutions <input type="checkbox"/> College/University <input type="checkbox"/> Grades K-12 <input type="checkbox"/> Promotes Active Transportation (walking, biking) <input type="checkbox"/> Promotes integration with other modes of transportation
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

**f) Co-Benefits** - Describe benefits indicated above in d) and any other benefits not listed.

**Electric buses have no particulate emissions. The Watsonville DAC ranks 51 on EnviroScreen for childhood asthma. Electric buses have demonstrated lower operating and maintenance costs due to cheaper propulsion fuel and the reduced number of moving parts on an electric bus, meaning reduced lubrication, servicing and replacement costs.**

**Table 6: Project Schedule**

Capital Projects	
Begin Construction Phase ( <b>Contract Award</b> )	
End Construction Phase ( <b>Contract Acceptance</b> )	
Begin Vehicle/Equipment Order ( <b>Contract Award</b> )	9/30/2016
End Vehicle/Equipment Order ( <b>Contract Acceptance</b> )	6/30/2017
Begin Closeout Phase	7/1/2029
End Closeout Phase	9/30/2029

Operations Projects	
Begin expanded/enhanced transit services	9/15/2017
End expanded/enhanced transit services	6/30/2029
Begin Closeout Phase	10/1/2019
End Closeout Phase	12/31/2029

**START DATE FOR LCTOP FUNDED PHASES MAY NOT PROCEED PROJECT APPROVAL LETTER.**

*Pre-construction costs (e.g design, environmental and right-a-way) are not eligible to be funded by LCTOP funds, they must be funded by other sources.*

## Low Carbon Transit Operations Program (LCTOP)

### PROJECT DESCRIPTION AND ALLOCATION REQUEST (OPERATIONS DESCRIPTION)

#### Table 7: Operations Project Description

a) Describe the operating plan for this system.

Watsonville ZEB Transit Service will create a new transit route for the Watsonville DAC which connects the downtown transit center with the primary retail and medical destinations in Watsonville. This route will offer a high-quality transit circulator operating every 1/2 hour. The purpose of the route is to replace unproductive route segments on other local routes which do not well serve these primary destinations. Elimination of these segments combined with a more effective route will reduce emissions by eliminating unproductive route miles currently operated by diesel buses and attract new passengers to boost transit mode share.

b) Describe the fare structure for this system.

During the first 3 years, the service will have the same fare structure as the other METRO services, \$2 per one-way tri

c) Describe the assumptions and process that were used to develop the ridership projections shown in the request.

Ridership projects were based upon current ridership as determined by an October 2015 ridecheck survey performed by TMD, Inc. as part of a Comprehensive Operational analysis. All of the ridership from local route segments to be eliminate were added to the new service. New ridership generated by the promoted electric bus providing higher-quality transit service grows from an initial 4 new passenger trips per hour. All ridership attributed to the electric bus ridership is then projected to double over the 12-year useful life of the capital equipment purchased with LCTOP funds.

d) Describe the assumptions and process for how the operating cost projections were developed.

Operating cost projections for the replaced service are METRO's system-wide marginal cost/hour. Electric bus fuel cost/mile are lower. Electric buses have demonstrated significantly lower maintenance costs due to the far fewer moving parts, the absence of motor-fuel contamination requiring routine cleaning and replacement, and the reduced cost of consumables. Electric bus maintenance cost/mile vs. CNG bus maintenance cost/mile is taken from research provided by Stanford University and reproduced in METRO's *Electric Bus Strategy Plan*.

**FY15-16 LCTOP Allocation Request - Assumptions for Cost and Ridership Inputs  
 Santa Cruz Metropolitan Transit District: Watsonville ZEB Transit Service**

	Length (Miles)	Frequency (hourly)	Duration (Hours/Day)	Days/year	Trip Length (Average)	New Pax (hourly)
<b>New Route</b>	5.35	2	12	360	3.90	4.00
<b>Elimated</b>						
<b>Diesel Segments</b>	74	1	13	360		
	77	1	12	250		

	Initial PAX (Daily)	Cost/Hour	Total Cost (Year)	New Riders Y1	Total Ridership Y1	Total Ridership YF	New VMT Reduced
<b>New Route</b>	185	106.42	\$459,734.40	17,280	66,528	133,056	67,392
<b>Elimated</b>	87	116.00	\$542,880.00		31,356		
<b>Diesel Segments</b>	56	116.00	\$348,000.00		14,100		
							OLD SE

	Fuel/MI	Maint/MI
<b>Current Cost/Hour</b>	\$	<b>116.00</b>
METRO CNG	0.56	0.60
ELECTRIC	0.24	0.25
System MPH	14.30	
Cost Reduction/Hr.	4.576	5.005
<b>Electric Cost/Hour</b>	\$	<b>106.42</b>
	Old Service	New Service
	\$ 890,880.00	\$ 459,730.08
<b>Local Rev/Hour</b>	<b>Negative Net Operating Cost</b>	
	<b>No Future LCTOP Requested</b>	



## Low Carbon Transit Operations Program TOTAL PROJECT COST AND FUNDING PLAN

The following Funding Plan has been reviewed and approved by the undersigned. It includes a complete list of funds for this project and is the total cost of the project, including LCTOP funds.

Person preparing this form (please type or print) Thomas Hiltner	Phone: (831) 420-2580	Date: 1/28/2016
Approval Authority: Sign and date  1/29/2016	Typed name and phone number: Angela Aitken (831) 426-6080	

Shaded fields are automatically calculated. Please do not fill these fields.

Proposed Total Project Cost								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Project Total
PA&ED	0	0	0	0	0	0	0	0
PS&E	0	0	0	0	0	0	0	0
R/W	0	0	0	0	0	0	0	0
CON	357,216	709,292	0	0	0	0	0	1,066,508
Veh/Equip Purchase	0	0	0	0	0	0	0	0
Operations/Other	0	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>357,216</b>	<b>709,292</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,066,508</b>

Low Carbon Transit Operations Program (LCTOP)								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON	0	709,292						709,292
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>	<b>709,292</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>709,292</b>

Funding Source: Proposition 1B Public Transportation Modernization Improvement and Service Enhancement Act								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON	357,216							357,216
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>357,216</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>357,216</b>

Funding Source:								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							

Funding Source:								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							



## Low Carbon Transit Operations Program BREAK-OUT OF PUC 99313 AND 99314 AMOUNTS

<b>Funding Source:</b> Low Carbon Transit Operations Program (LCTOP) Amount of PUC 99313 Funds								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase	88,497	263,123						351,620
Operations/Other								0
<b>TOTAL</b>	<b>88,497</b>	<b>263,123</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>351,620</b>

<b>Funding Source:</b> Low Carbon Transit Operations Program (LCTOP) Amount of PUC 99314 Funds								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase	94,197	263,475						357,672
Operations/Other								0
<b>TOTAL</b>	<b>94,197</b>	<b>263,475</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>357,672</b>

<b>Funding Source:</b>								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							

<b>Funding Source:</b>								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							

<b>Funding Source:</b>								
Component	Prior	FY 16	FY 17	FY 18	FY 19	FY 20	FY 21	Total
PA&ED								0
PS&E								0
R/W								0
CON								0
Veh/Equip Purchase								0
Operations/Other								0
<b>TOTAL</b>	<b>0</b>							